

3007 Rec'd PCT/PTO 04 MAR 2002
Receipt
#8 5-24-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Joachim Hagenauer et al. Attorney Docket No.: 112740-223
Serial No.: 09/856,399 Group Art Unit: 2682
Filed: September 5, 2001 Examiner:
For: METHOD, BASE STATION AND SUBSCRIBER STATION FOR CHANNEL CODING IN A GSM MOBILE RADIO SYSTEM



ASSISTANT COMMISSIONER FOR PATENTS
BOX OIPE
WASHINGTON, D.C. 20231

COPY OF PAPERS
ORIGINALLY FILED

REQUEST FOR CORRECTED FILING RECEIPT

- Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
- There is an error in that the following data is:
[X] incorrectly entered
and/or
[X] omitted
[X] Inventor
[] Applicants
[] Title
[] Attorney Docket No.
[] Serial Number
[X] Total Claims and/or Independent Claims
[] Other

RECEIVED

MAY 10 2002

Technology Center 2600

in that the filing receipt should read as follows:

The total number of Claims should be 19;
Another inventor is **Stefan Oestreich**; and
Another inventor is **Wen Xu**.

Robert W. Connors (Reg. No. 46,639)
Bell, Boyd & Lloyd LLC
P.O. Box 1135
Chicago, Illinois 60690-1135
Attorneys for Applicant



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/856,399	09/05/2001	2682	1260	112740-223	5	16 19	3

CONFIRMATION NO. 9178

FILING RECEIPT



OC000000007075142

William E Vaughan
Bell Boyd & Lloyd
P O Box 1135
Chicago, IL 60690COPY OF PAPERS
ORIGINALLY FILED

Date Mailed: 11/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Joachim Hagenauer, Seefeld, GERMANY;
Thomas Hindelang, Muenchen, GERMANY;
Stefan Oestreich
Wen Xu

RECEIVED

MAY 10 2002

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/DE99/03698 11/19/1999

Technology Center 2600

RECEIVED
BELL, BOYD & LLOYD
INTELLECTUAL PROPERTY DOCKET

NOV 26 2001

Foreign Applications

GERMANY 198 53 443.4 11/19/1998

ATTY. RWC

DOCKET #: 112740-223

Projected Publication Date: Not Applicable, filed prior to November 29, 2000

Non-Publication Request: No

Early Publication Request: No

Title

Method base station and subscriber station for channel coding in a gsm mobile radio system

Preliminary Class

455

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

TRANSMITTAL LETTER
(General - Patent Pending)

Docket No.
112740-223

In Re Application Of: **Hagenauer et al.**

**COPY OF PAPERS
ORIGINALLY FILED**



Serial No.
09/856,399

Filing Date
September 5, 2001

Examiner
Unknown

Group Art Unit
2682

Title: **METHOD, BASE STATION AND SUBSCRIBER STATION FOR CHANNEL CODING IN A GSM MOBILE RADIO SYSTEM**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

Request for Corrected Filing Receipt; Copy of Filing Receipt (2 pages); Copy of filed Oath and Declaration (8 pages); and postcard

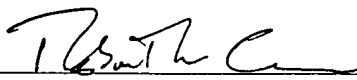
RECEIVED

MAY 10 2002

Technology Center 2600

in the above identified application.

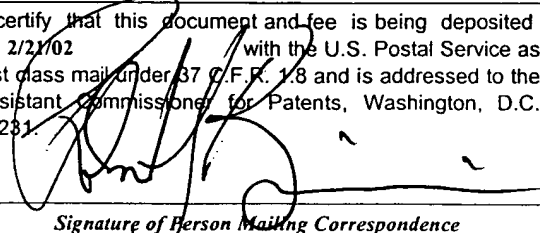
- ☒ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **02-1818** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.


Signature

Dated: **February 21, 2002**

Robert W. Connors
Reg. No. 46,639
Bell, Boyd & Lloyd LLC
P.O. Box 1135
Chicago, IL 60690-1135

I certify that this document and fee is being deposited on 2/21/02 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.


Signature of Person Mailing Correspondence

Robert J. Buccieri

Typed or Printed Name of Person Mailing Correspondence

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Joachim Hagenauer et al.**

Docket No.

112740-223

Serial No.

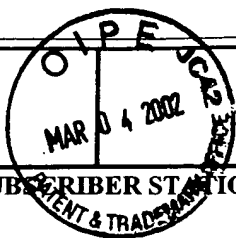
09/856,399

Filing Date

May 21, 2001

Examiner

Group Art Unit

Invention: **METHOD, BASE STATION AND SUBSCRIBER STATION FOR CHANNEL CODING IN A GSM MOBILE RADIO SYSTEM****EL647240265US****COPY OF PAPER
ORIGINALLY FILED**

I hereby certify that the following correspondence:

Transmittal letter to the United States Designated/Elected office in duplicate, Form PCT/DO/EO/905, executed declaration and power of attorney, late fee \$130.00, postcard*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

September 5, 2001*(Date)***Robert Baccieri***(Type or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***EL647240265US***("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

RECEIVED**MAY 10 2002****Technology Center 2600**

COPY OF PAPERS
ORIGINALLY FILED



EXPRESS MAIL: EL647240265US

In re Patent Application of: Joachim Hagenauer et al.

Docket No. 0112740-223 – PCT/DE99/03698

On the date stamped hereon the U.S. Patent & Trademark
Office hereby acknowledge the receipt of the following:

Transmittal letter to the United States Designated/Elected Office in
duplicate, Form PCT/DO/EO/905, executed declaration and power
of attorney, late fee \$130.00, postcard

Mailed on September 5, 2001 ———WEV

RECEIVED
MAY 10 2002
Technology Center 2600

Security enhanced document. See back for details.

BELL BOYD & LLOYD LLC

PATENTS & TRADEMARKS ACCOUNT

THREE FIRST NATIONAL PLAZA

70 W. MADISON ST., STE. 3200 PH. 312-372-1121
CHICAGO, IL 60602

9070

2-50/710

DATE **Sept. 5, 2001**

e Honorable Commissioner of Patents and Trademarks"

\$ 130.00

One Hundred Thirty and 00/100

DOLLARS



Security features
are included.
Details on back.

N.A.

0603

3 filing late declaration

⑈009070⑈ ⑈071000505⑈ 5800036328⑈

DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

APPLICATION NO. (IF KNOWN, SEE 37 CFR

89/856,399

INTERNATIONAL APPLICATION NO.
PCT/DE99/03698

INTERNATIONAL FILING DATE
19 November 1999

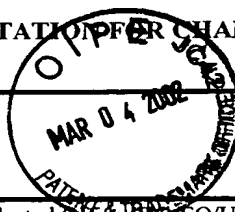
PRIORITY DATE CLAIMED
19 November 1998

TITLE OF INVENTION

METHOD, BASE STATION AND SUBSCRIBER STATION FOR CHANNEL CODING IN A GSM MOBILE RADIO SYSTEM

APPLICANT(S) FOR DO/EO/US
Joachim Hagenauer et al.

COPY OF PAPERS
ORIGINALLY FILED



Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Copy of Form PCT/DO/EO/905 (March 2001)

RECEIVED

MAY 10 2002

Technology Center 2600

21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1,000.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	- 20 =	0	x \$18.00	\$0.00
Independent claims	- 3 =	0	x \$80.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$130.00
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable) <input type="checkbox"/>				\$0.00
SUBTOTAL =				\$130.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00
TOTAL NATIONAL FEE =				\$130.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) <input type="checkbox"/>				\$0.00
TOTAL FEES ENCLOSED =				\$130.00
				Amount to be: refunded \$
				charged \$

- ☒ A check in the amount of **\$130.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **02-1818** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive 37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

William E. Vaughan (Reg. No. 39,056)
Bell, Boyd & Lloyd LLC
P.O. Box 1135
Chicago, Illinois 60690

SIGNATURE

William E. Vaughan

NAME

39,056

REGISTRATION NUMBER

September 5, 2001

DATE

Als nachstehend benannter Erfinder erkläre ich hiermit an Eides Statt:

dass mein Wohnsitz, meine Postanschrift, und meine Staatsangehörigkeit den im Nachstehenden nach meinem Namen aufgeführten Angaben entsprechen,

dass ich, nach bestem Wissen der ursprüngliche, erste und alleinige Erfinder (falls nachstehend nur ein Name angegeben ist) oder ein ursprünglicher, erster und Miterfinder (falls nachstehend mehrere Namen aufgeführt sind) des Gegenstandes bin, für den dieser Antrag gestellt wird und für den ein Patent beantragt wird für die Erfindung mit dem Titel:

Verfahren, Basisstation und Teilnehmerstation zur Kanalkodierung in einem GSM-Mobilfunksystem

deren Beschreibung

(zutreffendes ankreuzen)

☐ hier beigefügt ist.

☒ am 19.11.1999 als

PCT internationale Anmeldung

PCT Anmeldungsnummer PCT/DE99/03698

eingereicht wurde und am _____

abgeändert wurde (falls tatsächlich abgeändert).

Ich bestätige hiermit, dass ich den Inhalt der obigen Patentanmeldung einschliesslich der Ansprüche durchgesehen und verstanden habe, die eventuell durch einen Zusatzantrag wie oben erwähnt abgeändert wurde.

Ich erkenne meine Pflicht zur Offenbarung irgendwelcher Informationen, die für die Prüfung der vorliegenden Anmeldung in Einklang mit Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) von Wichtigkeit sind, an.

Ich beanspruche hiermit ausländische Prioritätsvorteile gemäss Abschnitt 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 119 aller unten angegebenen Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde, und habe auch alle Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde nachstehend gekennzeichnet, die ein Anmeldedatum haben, das vor dem Anmeldedatum der Anmeldung liegt, für die Priorität beansprucht wird.

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Method, base station and subscriber station for channel coding in a gsm mobile radiotelephone system

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on 19.11.1999 as

PCT international application

PCT Application No. PCT/DE99/03698

and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior foreign application
Priorität beansprucht

Priority Claimed

19853443.4

DE

19.11.1998

☒

☐

(Number)
(Nummer)

(Country)
(Land)

(Day Month Year Filed)
(Tag Monat Jahr eingereicht)

Yes
Ja

No
Nein

(Number)
(Nummer)

(Country)
(Land)

(Day Month Year Filed)
(Tag Monat Jahr eingereicht)

☐
Yes
Ja

☐
No
Nein

(Number)
(Nummer)

(Country)
(Land)

(Day Month Year Filed)
(Tag Monat Jahr eingereicht)

☐
Yes
Ja

☐
No
Nein

Ich beanspruche hiermit gemäss Absatz 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 120, den Vorzug aller unten aufgeführten Anmeldungen und falls der Gegenstand aus jedem Anspruch dieser Anmeldung nicht in einer früheren amerikanischen Patentanmeldung laut dem ersten Paragraphen des Absatzes 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 122 offenbart ist, erkenne ich gemäss Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) meine Pflicht zur Offenbarung von Informationen an, die zwischen dem Anmeldedatum der früheren Anmeldung und dem nationalen oder PCT internationalen Anmeldedatum dieser Anmeldung bekannt geworden sind.

I hereby claim the benefit under Title 35, United States Code: §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §122, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

PCT/DE99/03698

(Application Serial No.)
(Anmeldeseriennummer)

19.11.1999

(Filing Date D, M, Y)
(Anmeldedatum T, M, J)

(Status)
(patentiert, anhängig,
aufgegeben)

(Status)
(patented, pending,
abandoned)

(Application Serial No.)
(Anmeldeseriennummer)

(Filing Date D,M,Y)
(Anmeldedatum T, M; J)

(Status)
(patentiert, anhängig,
aufgeben)

(Status)
(patented, pending,
abandoned)

Ich erkläre hiermit, dass alle von mir in der vorliegenden Erklärung gemachten Angaben nach meinem besten Wissen und Gewissen der vollen Wahrheit entsprechen, und dass ich diese eidesstattliche Erklärung in Kenntnis dessen abgebe, dass wissentlich und vorsätzlich falsche Angaben gemäss Paragraph 1001, Absatz 18 der Zivilprozessordnung der Vereinigten Staaten von Amerika mit Geldstrafe belegt und/oder Gefängnis bestraft werden koennen, und dass derartig wissentlich und vorsätzlich falsche Angaben die Gültigkeit der vorliegenden Patentanmeldung oder eines darauf erteilten Patentes gefährden können.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.